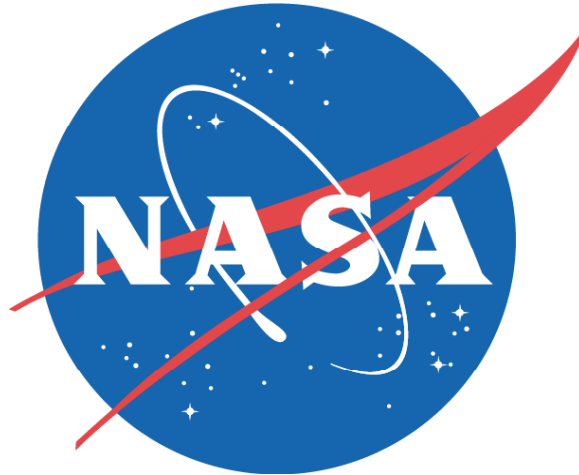


Responsible Office: Office of the Chief Financial Officer
Subject: Preparation of Agency Strategic Plan



Office of Policy and Plans

Office Work Instruction

Preparation of Agency Strategic Plan

Approved by Lori B. Garver
Associate Administrator
Office of Policy and Plans

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DOCUMENT HISTORY LOG

| <u>Status</u> (<u>Baseline/</u> <u>Revision/</u> <u>Canceled</u>) | <u>Document</u> <u>Revision</u> | <u>Effective</u> <u>Date</u> | <u>Description</u> |
|--|------------------------------------|---------------------------------|---|
| Baseline | | 12/10/99 | |
| Revision | A | 11/2/00 | OWI was significantly revised to address observation from the external registration audit of May 2000 that the process "marginally provided objective evidence of compliance with" the requirements of Element 4.4, Design Control. Processes significantly revised to clearly show design input, output, review and approval, and validation and verification. Additional quality records have been added to provide objective evidence of validation and verification that the product (Agency Strategic Plan) meets design requirements. |
| Admin Update | A | 4/24/02 | Administrative update to change responsible organization from Code Z to Code B. Action taken as a result of the July 10, 2001 memo from Administrator Dan Goldin to redistribute Code Z functions to other offices at HQS. This document will be revised at a later date by Code B to update and correct the references to Code Z as well as to make other process changes. |
| | | | |

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1. Purpose

The purpose of this procedure is to produce the NASA (Agency) Strategic Plan in compliance with the strategic planning requirements of the Government Performance and Results Act of 1993.

2. Scope and Applicability

- 2.1 This OWI covers coordination and preparation of the Agency's Strategic Plan as performed in the Office of Policy and Plans, Code Z. Specifically, the OWI covers the process by which Code Z provides guidance to the Enterprises regarding the preparation of the Enterprise Strategic Plans and the section regarding each Enterprises that is incorporated into the Agency level Strategic Plan. Additionally, the OWI addresses the incorporation of other Agency-level content into the NASA Strategic Plan. It applies to all NASA Enterprises, Functional/Staff offices, and Centers, which assist in identifying sub-elements of the Agency's overall strategic vision, mission, goals and objectives.

3. Definitions

- 3.1 NASA Strategic Plan. A document describing NASA's strategic vision, missions, goals and objectives, as well as how NASA intends to meet the Agency's goals and objectives.
- 3.2 OMB Circular A-11. Contains OMB implementing guidelines for GPRA.
- 3.3 Government Performance and Results Act (GPRA). Federal law passed in 1993 holding Federal Agencies accountable for achieving program results by setting goals, measuring program performance against those goals, and reporting publicly on progress. GPRA establishing strategic planning requirements for Federal agencies, including the requirement that Strategic Plans be submitted every three years.
- 3.4 Code Z Strategic Planning Team. Code Z staff assigned by the Associate Administrator to support the Agency's strategic planning efforts. The Director of Strategic Planning serves as Team Leader and assigns team tasks to specific team members.
- 3.5 Headquarters-wide Strategic Planning Contacts. Key points of contact in the Strategic Enterprise organizations and functional offices contributing directly to the preparation of the Agency Strategic Plan.

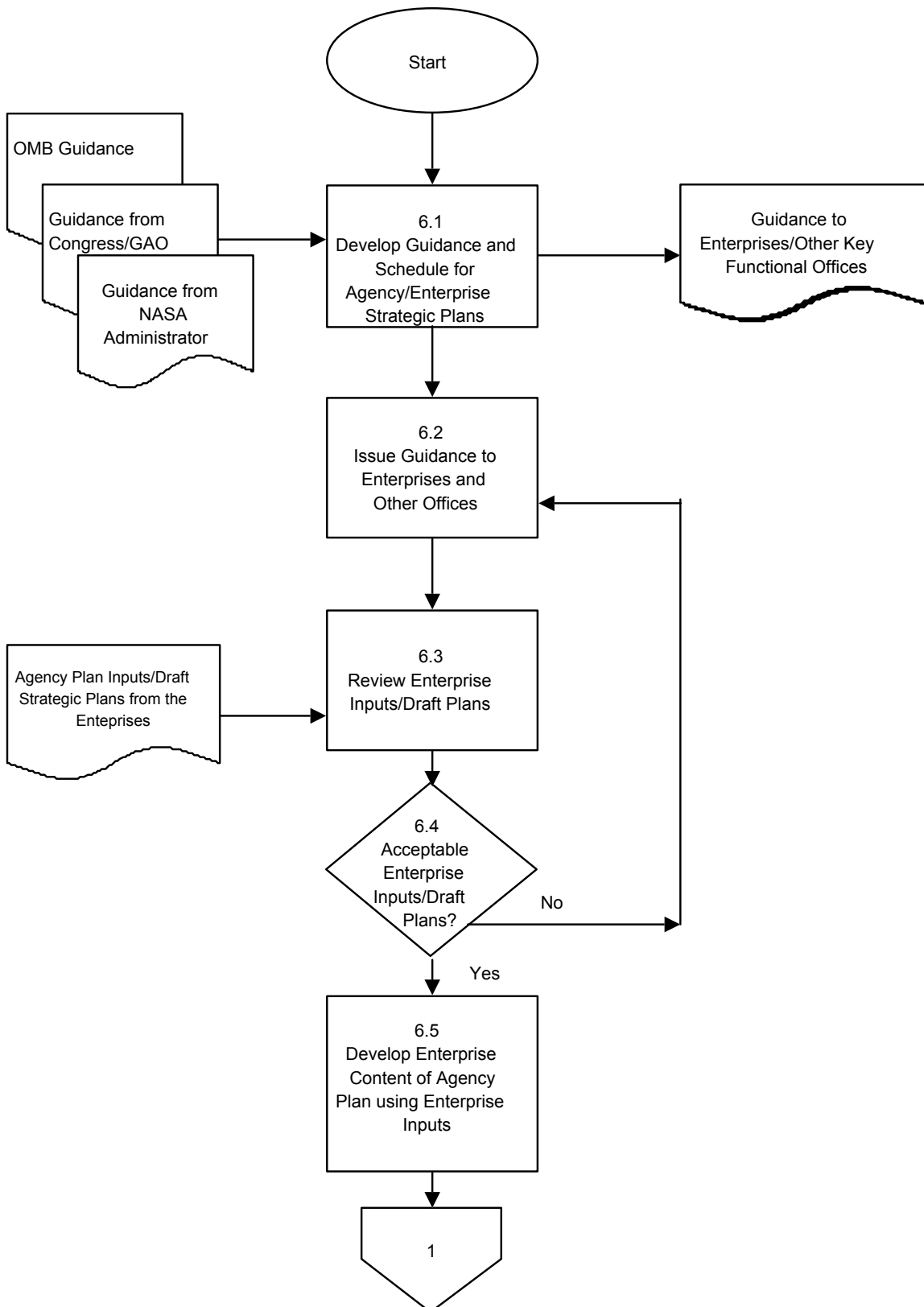
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4. References

- 4.1 5 U.S.C., 306, "Strategic Plans," as enacted by Section 3 of the Government Performance and Results Act of 1993.
- 4.2 Office of Management and Budget (OMB) Circular A-11, Sect. 210.
- 4.3 NHB 1101.3, The NASA Organization.
- 4.4 NASA Strategic Management Handbook, Chapter 3, Strategic Planning.
- 4.5 Memorandum from Associate Administrator for Policy and Plans to Associate Administrator for Management Systems, July 19, 2000, Subject: NASA Strategic Plan and the NASA Directives System.
- 4.6 Memorandum from Associate Administrator to Officials-in-Charge of Headquarters Offices and ISO9001 Points-of-Contact, October 3, 2000, Subject: Location of NASA Directive Records Identified in Headquarters Office Work Instructions (OWIs) on Policy Formulation

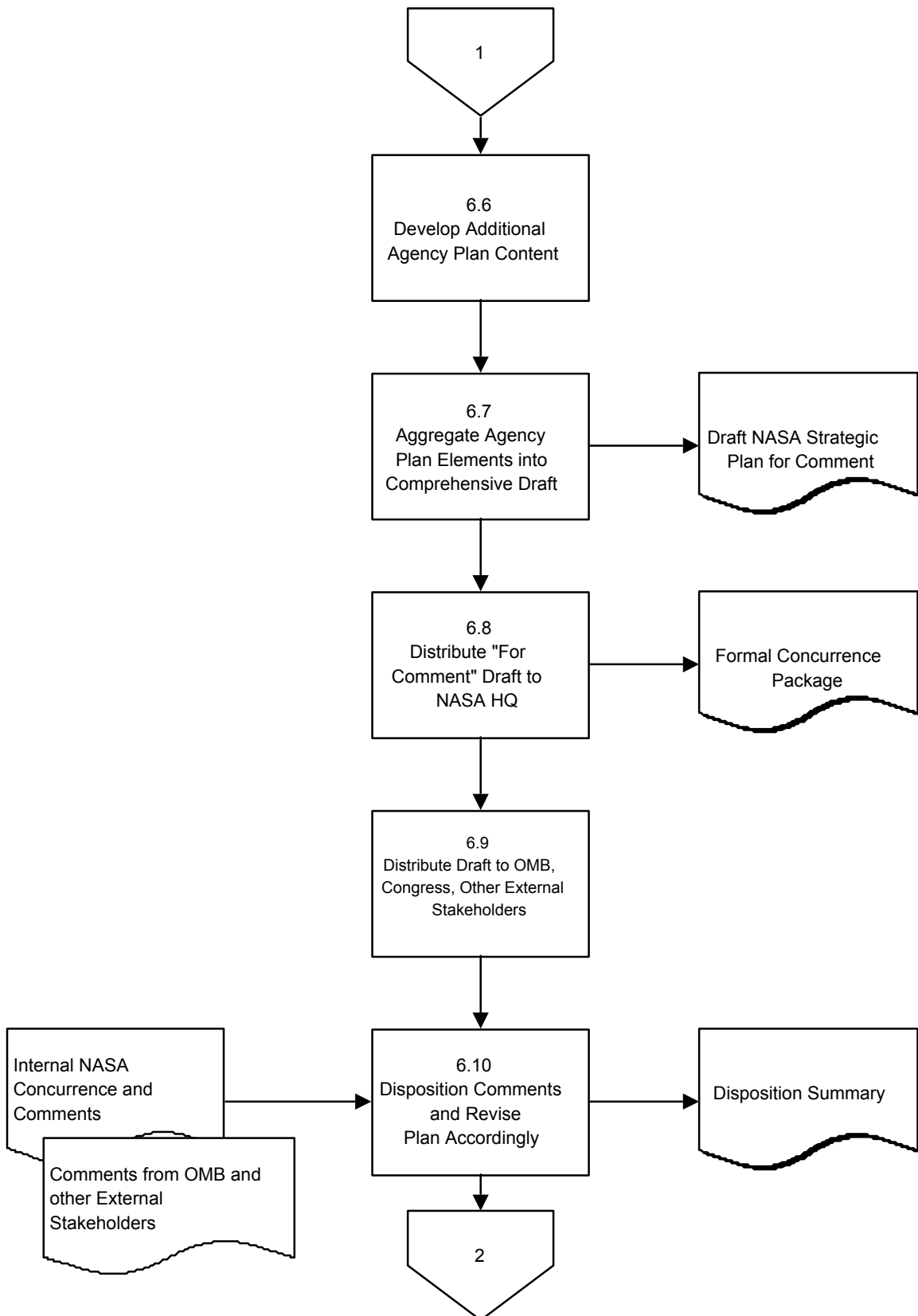
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5. Flowchart

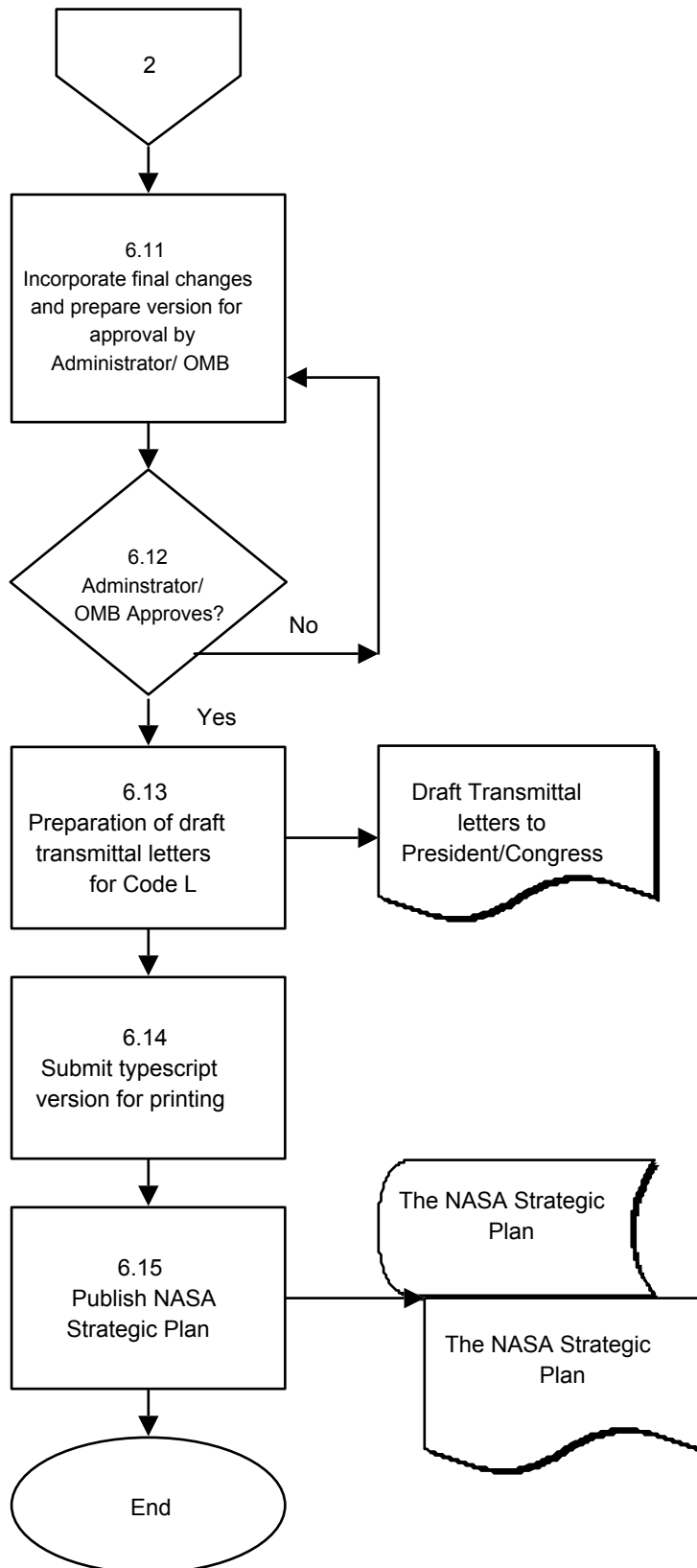


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6. Procedure

| <u>Step</u> | <u>Actionee</u> | <u>Action</u> |
|-------------|------------------------------|--|
| 6.1 | Strategic Planning Team Lead | <p>Develop Agency-wide guidance and direction for development of Agency and Enterprise Strategic Plans. In developing this guidance, take into consideration various external requirements, as well as guidance from the NASA Administrator. One of the key basis for external requirements is GPRA itself. In particular, as cited in Section 3.2 of the NASA Strategic Management Handbook, in response to GPRA, the Strategic Plans developed for the Agency and the Strategic Enterprises will contain:</p> <ul style="list-style-type: none"> a. a comprehensive mission statement covering NASA's major functions and operations; b. general goals and objectives, including outcome-related goals and objectives, for major functions and operations; c. a description of how the goals and objectives are to be achieved; d. an identification of those key factors, external to the Agency and beyond its control, that could significantly affect the achievement of the general goals and objectives; and e. the program evaluations used in establishing or revising general goals and objectives. <p>Also develop a schedule for the preparation of Enterprise Strategic Plans and the Agency plan that is consistent with the requirement for the Agency to produce an updated Strategic Plan at least every three years.</p> |
| 6.2 | AA for Policy and Plans | Issue guidance to Strategic Enterprises and Other key functional offices at Headquarters requesting specific inputs for the Agency Plan, specifying design requirements for inputs. |
| 6.3 | Strategic Planning Team | Once draft Plans/inputs are received from the Enterprises, review these Enterprise materials to ensure their consistency with and fulfillment of the requirements. |
| 6.4 | Office of Policy and Plans | Code Z evaluates the Enterprise submissions for compliance with the requirements and quality standards. If the Enterprise inputs are not acceptable, the inputs are returned to the cognizant Enterprise for revision. Code Z will identify the needed adjustments to make the drafts acceptable and consistent with the requirements. |
| 6.5 | Strategic Planning Team | Once the Enterprise inputs have been deemed acceptable by Code Z, the Strategic Planning Team will develop the Enterprise content for the Agency Plan using the Enterprise inputs. |
| 6.6 | Strategic Planning Team | In coordination with Enterprise and functional offices at NASA Headquarters, develop additional Agency Plan content, including details on the various cross-cutting processes and key external factors. |

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|------|-------------------------|--|
| 6.7 | Strategic Planning Team | Aggregate contents of Enterprise Strategic Plans and additional Agency Plan contents to produce NASA Strategic Plan "For Comment Draft." |
| 6.8 | AA for Policy and Plans | Distribute "For Comment" Draft to NASA Headquarters Officials-in-Charge (OICs) in formal coordination package with Action Document Summary Sheet. Request comments and concurrence from OICs. |
| 6.9 | AA for Policy | Provide draft of Strategic Plan comments from the Office of Management and Budget (OMB), Congress and other external stakeholders. |
| 6.10 | Strategic Planning Team | Disposition comments received from review by NASA OICs, OMB, Congress, and other external stakeholders, making appropriate changes in the draft document. Maintain disposition summary of all comments received and if and how they have been incorporated in the final Draft. |
| 6.11 | Strategic Planning Team | Incorporate any required final changes and prepare version of the Agency Plan for review and approval by the NASA Administrator. and OMB. Formal approval package is submitted through the Associate Deputy Administrator prior to reaching the Administrator. |
| 6.12 | Administrator | If the Administrator and OMB approve the plan, proceed to the preparation of the formal transmittal letter. |
| 6.13 | Strategic Planning Team | Provide draft letter to the Office of Legislative Affairs, which in turn prepares transmittal packages for the Administrator to submit the NASA Strategic Plan to the White House, House, and Senate, and the committees of the Congress with NASA jurisdiction. Formal transmittal letter prepared by the Office of Legislative Affairs is controlled under HQOWI1311-L006. |
| 6.14 | Strategic Planning Team | Submit typescript to Headquarters Printing and Design (Code CFP) for publication and distribution. |
| 6.15 | Strategic Planning Team | Ensure that hardcopies of the Strategic Plan are distributed, and that the electronic copy of the Strategic Plan is accessible on the NASA website. |

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7. Quality Records

| Record Identification | Owner | Location | Record Media: Electronic or Hard Copy | Schedule Number and Item Number (NPG 1441.1) | Retention/Disposition |
|---|----------------------------|---------------|---------------------------------------|--|---|
| Guidance to Enterprises and Other Key Functional Offices | Office of Policy and Plans | Code Z Suite | Hard Copy | Schedule 1, Item 72A | Permanent. Retire to Federal Records Center 1 year after obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old. |
| Draft NASA Strategic Plan "For Comment" | Office of Policy and Plans | Code Z Suite | Hard Copy | Schedule 1, Item 78D | Destroy when 1 year old or when no longer needed. |
| Formal Concurrence Package (including "For Comment Plan") | Office of Policy and Plans | Code JM Suite | Hard Copy | Schedule 1, Item 72A | Permanent. Retire to Federal Records Center 1 year after obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old. |
| Disposition Summary | Office of Policy and Plans | Code JM Suite | Hard Copy | Schedule 1, Item 72A | Permanent. Retire to Federal Records Center 1 year after obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old. |
| Draft Transmittal Letters to President and Congress | Office of Policy and Plans | Code Z Suite | Hard Copy | Schedule 1, Item 78D | Destroy when 1 year old or when no longer needed. |
| The NASA Strategic Plan, NPD 1000.1 | Office of Policy and Plans | Code JM Suite | Hard Copy | Schedule 1, Item 72A | Permanent. Retire to Federal Records Center 1 year after obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old. |
| The NASA Strategic Plan, NPD 1000.1 | Office of Policy and Plans | Code JM Suite | Electronic | Schedule 1, Item 72A | Permanent. Retire to Federal Records Center 1 year after obsolete or superseded. Transfer to NARA in 5 year blocks when 20 years old. |